

DATA BANK GUIDE FOR REPORTING HEALTH CARE-RELATED CRIMINAL CONVICTIONS  
AND CIVIL JUDGMENTS

Start Here:

Select the reporting scenario that describes your Federal or state agency's or health plan's situation:

Are you a Federal or state prosecutor involved in a case in which a health care practitioner, provider or supplier was convicted?

Yes

**A criminal conviction against a health care practitioner, provider, or supplier is reportable when it is related to the delivery of a health care item or service and includes:**  
1) A conviction entered against the individual or entity in a Federal, state, or local court, regardless of whether there is an appeal pending or whether the conviction or other record relating to criminal conduct has been expunged.  
2) A finding of guilt against the individual or entity in a Federal, state, or local court.  
3) A plea of guilty or *nolo contendere* by the individual or entity accepted by a Federal, state, or local court.  
**OR**  
4) A case when the individual or entity has entered into participation in a first offender, deferred adjudication, or other arrangement or program where judgment or conviction has been withheld.  
  
Health care-related injunctions also must be reported.

Yes

Submit an Initial Adverse Action Report

OR

Are you a Federal or state attorney or a health plan that was party to a civil judgment against a health care practitioner, provider or supplier?

Yes

**A civil judgment against a health care practitioner, provider, or supplier is reportable, regardless of whether the judgment is on appeal, when it is related to the delivery of a health care item or service. For multi-party suits:**  
1) A government agency in a multi-party suit must report the entire action, including all amounts awarded to all claimants, both public and private.  
**OR**  
2) If a government agency is not a party, but there are multiple health plan claimants, the health plan with the largest award must report the total action for all parties.

Yes

Submit an Initial Adverse Action Report

OR

Did a subsequent action (i.e., revision to sentence or judgment amount) modify or revise a previously reported conviction or judgment?

Yes

Submit a Revision-to-Action Report

OR

Did your agency or health plan determine that there is an error or omission in a previously submitted report?

Yes

Submit a Correction Report

OR

Did your agency or health plan determine that an action should not have been reported because of one of the following reasons:  
1) The report was erroneously submitted  
2) The action is not reportable  
3) The action was reversed or overturned  
Note: These are the only reasons for which a report may be voided.

Yes

Void the Report

OR

Did the subject of a report appeal a previously reported conviction or judgment?

Yes

Submit a Notice of Appeal